

Acknowledgments

Examiner rescinds the §105 Request for Information issued on 12/23/2009. After further consideration and discussions with the attorney of record, Eric Sophir, the Examiner asserts that all applicable prior art has either been disclosed by the Applicant or been uncovered through prior art searches conducted by the Examiner. Therefore, the §105 Request for Information issued on 12/23/09 is unnecessary and unwarranted.

Examiner Amendment

An examiner's amendment to the record appears below. Should the changes and/or additions be unacceptable to applicant, an amendment may be filed as provided by 37 CFR 1.312. To ensure consideration of such an amendment, it MUST be submitted no later than the payment of the issue fee.

Authorization for this examiner's amendment was given in a telephone interview with Eric Sophir on 1/8/10.

Claims 8, 16, 18 and 23 are amended as follows.

Claim 8. A system comprising:

- a customer terminal;
- a trader terminal operatively coupled to the customer terminal through a communications network;
- a processor;
- wherein the processor is configured to dynamically create sets of class components to handle one or more ~~transactions involving a trade requests~~

from a customer at the customer terminal, with each set of class components further comprising:

- a first component comprising functions for sending messages and receiving messages to the system on behalf of the customer;
- a second component comprising functions for controlling access to the system by the customer; and
- a third component comprising functions for sending messages to and receiving messages from the first component and a trader at the trader terminal; and
- wherein each set of class components is dynamically created for each customer submitting the one or more trade requests; and
- wherein the processor comprises a timer wherein the trade request from the customer is automatically revoked at a predetermined duration of time if the trader does not accept the trade request, ~~and wherein each set of class components is dynamically created for each customer attempting to execute a transaction.~~

Claim 16. A method comprising:

- ~~in a computer system:~~
- dynamically creating, in a processor, a set of class components to handle one or more transactions involving a trade requests for a customer, which further comprises:
- creating a first component comprising functions for sending messages and receiving messages to a system on behalf of a customer;
- creating a second component comprising functions for controlling access to the system by the customer; and
- creating a third component comprising functions for sending messages to and receiving messages from the first component and a trader;
- wherein each set of class components is dynamically created for each customer submitting the one or more trade requests; and

- transmitting messages between the customer and the trader through a communications network; and
- automatically revoking, by the processor, at a predetermined duration of time the trade request from the customer if the trader has not accepted the trade request.

Claim 18. A trading services computer program product comprising: at least one computer readable medium; encoded on computer-readable medium that when executed by a computer system performs a method comprising:

- ~~a class creation module stored on the at least one medium, and operable, upon a customer accessing of a customer to trading services of the computer program product to submit for handling one or more transactions involving a trade requests from the customer to a trader, to create creating~~ at least one set of classes, each set comprising at least one class;
- wherein the created classes include at least one of:
- an access control class configured to control access to the system by the customer;
- a trading system communications class configured to control transmission and receipt messages between the customer and the trader; and
- a translator class configured to control interaction between class components; and
- wherein each set of class components is dynamically created for each customer submitting the one or more trade requests; and
- ~~a timer module stored on the at least one medium, and operable to automatically revoke revoking~~ at a predetermined time the trade request from the customer if the trader does not accept the trade request ~~wherein each set of class components is dynamically created for each customer attempting to execute a transaction.~~

Claim 23. A computer implemented method for trading financial instruments, the method comprising:

- ~~a class creation module stored on the at least one medium, and operable, upon a customer accessing of a customer to trading services of the computer program product to submit for handling one or more transactions involving a trade requests from the customer to a trader, to create creating, in a processor, at least one set of classes, each set comprising at least one class;~~
- wherein the created classes include at least one of:
- an access control class configured to control access to the system by the customer;
- a trading system communications class configured to control transmission and receipt messages between the customer and the trader; and
- a translator class configured to control interaction between class components; and
- wherein each set of class components is dynamically created for each customer submitting the one or more trade requests; and
- ~~a timer module stored on the at least one medium, and operable to automatically revoke revoking, by the processor, at a predetermined time the trade request from the customer if the trader does not accept the trade request wherein each set of class components is dynamically created for each customer attempting to execute a transaction.~~

Allowable Subject Matter

Claims 8 - 27 are allowed.

The following is a statement of reasons for indication of allowable subject matter.

The prior art fails to teach or suggest the limitations of:

“to submit one or more trade requests to a trader, creating ... at least one set of classes, each set comprising at least one class; wherein the created classes include at least one of: an access control class configured to control access to the system by the customer; a trading system communications class configured to control transmission and receipt messages between the customer and the trader; and a translator class configured to control interaction between class components; wherein each

set of class components is dynamically created for each customer submitting the one or more trade requests" (as in Claim 23).

Such limitation is present in all independent claims.

It is old and well known in the art for to transmit and process trade requests for financial instruments through a networked computer system. Such a computerized system would require programming written in a computer language. One such computer language is object-oriented computer languages which dynamically creates "dynamically allocated objects" during the execution of the computer program.

The instant application distinguishes from these old and well known practices by dynamically creating a set of classes, each set created dynamically for each customer submitting as trade request, wherein each set comprising at least one class which controls access to the system, controls communication or controls interaction between classes.

Kalmus (US Patent 4,674,044) discloses a method/system for submitting and processing trade requests for financial instruments. (see abstract). Neither this patent, alone nor in combination with others, discloses nor suggests the feature of dynamically creating a set of classes, each set created dynamically for each customer submitting as trade request, wherein each set comprising at least one class which controls access to the system, controls communication or controls interaction between classes.

Any comments considered necessary by applicant must be submitted no later than the payment of the issue fee and, to avoid processing delays, should preferably accompany the issue fee. Such submissions should be clearly labeled "Comments on Statement of Reasons for Allowance."

Conclusion

Any inquiry concerning this communication or earlier communications from the examiner should be directed to JASON M. BORLINGHAUS whose telephone number is (571)272-6924. The examiner can normally be reached on Monday - Friday; 9am - 5:30pm.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, James A. Kramer can be reached on (571)272-6783. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

/Jason M Borlinghaus/
Primary Examiner, Art Unit 3693
January 11, 2010

Application/Control Number: 09/662,588
Art Unit: 3693

Page 8